

Supplementary Reference: 303
File Name: 3033s\DR-CD 11

FILE DOCUMENTATION GUIDELINES

The official award file is maintained by the Agreement Officer. The file should initially be compiled prior to execution of award and/or amendment and contain the following documentation:

1. Program Authorization and Results Package;
2. Statement of Availability of Funds;
3. Copy of APS or RFA announcement; or Exception to Competition justification (see ADS 303.5.5);
4. Documentation for recipient selection, evaluation procedures (see ADS 303.5.5);
5. Signed copy of the SF 424, if applicable;
6. Memorandum of Negotiation containing the following information:
 - a. Agreement Officer authority;
 - b. discussion of rationale for choice of instrument;
 - c. brief description of the purpose of the award, and duration;
 - d. detailed cost breakdown and analysis with a justification of all cost elements (see ADS 303.5.12);
 - e. information on indirect cost rates with a copy of NICRA, if appropriate;
 - f. places, dates and attendance at all meetings, agenda and decisions made;
 - g. discussion of the recipient's management responsibility, policies, organization, financial aspects. Rationale for determination responsibility will include if appropriate supporting information and/or pre-award survey reports (see also ADS 303.5.9);
 - h. if applicable, classification of high risk and steps taken to minimize the risk(see 22 CFR 226.14);

- i. a statement that USAID's Consolidated List of Debarred, Suspended and Ineligible Awardee has been reviewed and the recipient's name was not included on the list;
 - j. signed by the Negotiator and the Agreement Officer.
- 7. M/FM/CMP or Mission office clearance on advance methods of payment, if applicable;
- 8. Additional authorizations such as Deviation requests and approvals, General Counsel or RLA clearance if required;
- 9. Waivers, if applicable, e.g. source/origin;
- 10. Any other official correspondence concerning the program or award;
- 11. Reporting, evaluation and review schedule;
- 12. Complete signed copy of applicable certifications and representations;
- 13. Complete signed copy of Award, exactly as mailed to the recipient.

Post Award Documentation

- 14. Copies of all required financial and performance reports
- 15. Amendment Documentation - including requests for changes and negotiation proceedings.
- 16. Suspension and Termination - documentation of reasons and actions taken.
- 17. Audit reports, disallowances and appeals - copies of all official documents and actions taken.

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